

## II. Compliance Examinations — Pre-Exam Planning

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### Director Involvement

During the preliminary discussion, the EIC should encourage management to invite all Directors to participate in regularly scheduled meetings with examiners or to schedule individual meetings with the EIC if that is the preference of the Directors. The EIC should emphasize that such participation is purely voluntary and that a lack of participation will not be viewed negatively. As stated in the memorandum announcing this initiative, “The primary objectives are to improve communication with outside Directors, increase director knowledge of the examination process, provide an opportunity for Directors to discuss their views with examiners on banking related matters, and give examiners the opportunity to gain further insight into the experience levels and leadership qualities of bank management.”

### Prepare and Send the Compliance Request Letter

Examiners can download WORD templates for the Interview Sheet, Compliance Request Letter (entry letter), the CIDR, and electronic data download request from GENESYS. All but the latter form may also be accessed through the DSC website. These documents must be tailored as appropriate for each institution.

The CIDR template is a comprehensive list of information and documentation that may be required to conduct a compliance examination. After conducting the review and discussion outlined above, the EIC (or a designee with whom he or she communicates closely) is expected to use the template to create a CIDR that includes only items that are relevant to the examination of a particular institution. Not all items will be relevant to every examination. Time periods should be specified when seeking periodic reports, ledgers, administrative changes, etc., to avoid receiving data not relevant to the examination.

The Compliance Request Letter also includes requests for certain electronic data downloads. The EIC must coordinate these downloads with the CIDR requests to eliminate redundancies.

The Compliance Request Letter may be provided to the institution in either hard copy or electronic format, indicating where the materials should be delivered to the EIC or exam team and in what format. As indicated above, the timing of the request and the turnaround must ensure that the institution has sufficient time to assemble the requested information and the examination team has sufficient time to adequately review the materials. Where appropriate, the EIC may visit the institution prior to the formal on-site date to either pick up the documents, or review on-site any that are too bulky to duplicate or that are confidential. FDICconnect may now be used for secure requests and transmission of electronic examination files, and its use should be encouraged where appropriate.

### References

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*DSC RD Memo 02-051: Increased Director Involvement in the Examination Process*

**<http://fdic01/division/dsc/memos/memos/6000/2002-051.pdf>**

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*Examination Document Templates*

**GENESYS: <http://fdic01/division/dsc/compliance/tools/compgenesys.html>**

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*DSC RD Memo 04-048: e-Exam Pilot Program Website—Completion of Document Imaging Survey*

**<http://fdic01/division/dsc/memos/memos/6000/04-048.pdf>**

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*DSC RD Memo 06-007: Revised Compliance Examination Documents*

**<http://fdic01/division/dsc/memos/memos/6000/06-007.pdf>**